

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **John Roberts**

Filing Date: **Herewith**

Group Art Unit: **To Be Assigned**

Serial No. **To Be Assigned**

Examiner: **To Be Assigned**

For: **METHOD AND SYSTEM FOR DIVERSIFYING RISK
IN PRIVATELY HELD STOCK**

1c971 U.S. PTO
09/965443
09/27/01

INFORMATION DISCLOSURE STATEMENT

The Assistant Commissioner for Patents
Washington, D.C. 20231

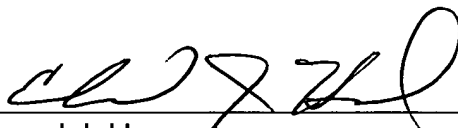
Sir:

Pursuant to the Duty of Disclosure set forth in 37 CFR 1.56, the materials listed on the enclosed form PTO-1449 are hereby brought to the attention of the Examiner. A copy of each is enclosed.

The claimed invention is believed patentable over the enclosed references. No representations are made regarding the references other than those set forth above.

Respectfully submitted,

Date: September 27, 2001


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Docket No. ROBERTS-1
PH1\886535.1

Form PTO-1448 U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION (Use several sheets if necessary)	Docket No. ROBERTS-1	Serial No.
	Applicant: John Roberts	
	Filing Date: Herewith	Group Art Unit

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,161,096	12/12/00	Bell	705	4	
	AB	6,088,685	07/11/00	Kiron, et al.	705	36	
	AC	6,061,661	05/09/00	Hagan	705	35	
	AD	5,806,047	09/08/98	Hackel, et al.	705	36	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AE	2,323,425	03/05/99	Canada				
	AF	WO 99/46658	09/16/99	PCT				

OTHER (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609.
 Draw line through citation if not in conformance and not considered. Include copy of this form with next
 communication to the applicant.